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			ED OFFICE (DO/EO/US)	U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR
			· · ·	09/830566
			G UNDER 35 U.S.C. 371	No.
NTER		ONAL APPLICATION NO. PCT/EP99/08284	INTERNATIONAL FILING DATE  30 October 1999	PRIORITY DATE CLAIMED  05 November 1998
TITLE		IVENTION	St Gettobel 1999	<b>V</b> 110.011.001 2330
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PRE	PARA	ATION AND THEIR USE		
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Appli	cant h	erewith submits to the United Sta	ntes Designated/Elected Office (DO/EO/US) t	the following items and other information:
1. ¥	$\boxtimes$	This is a <b>FIRST</b> submission of	items concerning a filing under 35 U.S.C. 37	1.
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3.	$\boxtimes$	This is an express request to beg	gin national examination procedures (35 U.S.	C. 371(f)). The submission must include itens (5),
		(6), (9) and (24) indicated below	v.	
4.	$\boxtimes$		expiration of 19 months from the priority dat	te (Article 31).
5.	$\boxtimes$		elication as filed (35 U.S.C. 371 (c) (2))	( 15
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6.		N 1 11	n of the International Application as filed (35	U.S.C. 371(c)(2)).
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			nowever, the time limit for making such amer	ndments has NOT expired.
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8.			n of the amendments to the claims under PCT	Article 19 (35 U.S.C. 371(c)(3)).
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12.	$\boxtimes$	A copy of the International Sea	arch Report (PCT/ISA/210).	
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13.			atement under 37 CFR 1.97 and 1.98.	
14.			ecording. A separate cover sheet in complian	ice with 37 CFR 3.28 and 3.31 is included.
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16.		A SECOND or SUBSEQUEN	T preliminary amendment.	
17.		A substitute specification.		
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IN RE APPLICATION OF: Anton NEGELE, et al

SERIAL NO.: New U.S. PCT Application (Based on PCT/EP99/08284)

FILED: HEREWITH

FOR: AQUEOUS DISPERSIONS OF WATER-SOLUBLE POLYMERS OF N-VINYLCARBOXAMIDES, THEIR PREPARATION AND THEIR USE

ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- $\boxtimes$ No additional fee is required.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.
- Additional documents filed herewith: English Translation, Declaration, Notice of Priority, Check for \$860.00,  $\boxtimes$ PCT Transmittal Letter, Preliminary Amendment, PCT/IB/304, PCT/IB/308, International Search Report, Request for Consideration of Documents Cited in International Search Report, Translation of Annexes to the International Preliminary Examination Report, Amended Sheets 15-17.

The fee has been calculated as shown below.

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A check in the amount of \$\_\_\_\_\_ is attached.

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or XXcredit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under XX37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

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MAIER & NEUSTADT, P.C.

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<sup>\*</sup>If the entry in Column 2 is less than the entry in Column 1 write "0" in Column 3.

\*\*If the "Highest Number Previously paid for" IN THIS SPACE is less than 20 write "20" in this space.

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#### 205892US0PCT

# IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF:

: ATTN: APPLICATION DIVISION ANTON NEGELE ET AL

SERIAL NO: NEW US PCT APPLN

(BASED ON PCT/EP99/08284

FILED: HEREWITH

FOR: AQUEOUS DISPERSIONS OF WATER-

SOLUBLE POLYMERS OF N-VINYLCARBOXAMIDES, THEIR PREPARATION AND THEIR USE

# PRELIMINARY AMENDMENT

ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231

SIR:

Prior to examination on the merits, please amend the above-identified application as follows.

#### IN THE CLAIMS

Please amend the claims as follows:

- 3. (Amended) An aqueous dispersion of a water-soluble polymer as claimed in claim 1, wherein the dispersion contains as component (A) a homopolymer of N-vinylformamide.
- 4. (Amended) An aqueous dispersion of a water-soluble polymer as claimed in claim

1, wherein the N-vinylformamide units and/or vinylacetamide units of the polymer (A) have

been partially or completely converted into a polymer containing vinylamine units by hydrolysis with acids or bases.

- 7. (Amended) A process as claimed in claim 5, wherein the polymeric dispersants (B) used are polyethylene glycol, polypropylene glycol, copolymers of ethylene glycol and propylene glycol, polyvinyl acetate, polyvinyl alcohol, polyvinylpyridine, polyvinylimidazole, polyvinylsuccinimide, polydiallyldimethylammonium chloride, polyethyleneimine and mixtureS thereof.
  - 8. (Amended) A process as claimed in claim 5, wherein
- (A) N-vinylformamide, if desired together with other monoethylenically unsaturated monomers, and
  - (B) polyethylene glycol, polyvinylpyrrolidone or mixtures thereof are polymerized at from 40 to 55°C with water-soluble azo initiators.

# **REMARKS**

Claims 1-8 are active in the present application. The claims are amended to remove multiple dependencies. No new matter is added. An action on the merits and allowance of the claims is solicited.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,

MAIER & NEUSTADT, P.C.

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Daniel J. Pereira, Ph.D. Registration No. 45,518

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#### IN THE CLAIMS

- --3. (Amended) An aqueous dispersion of a water-soluble polymer as claimed in claim 1 [or 2], wherein the dispersion contains as component (A) a homopolymer of N-vinylformamide.
- 4. (Amended) An aqueous dispersion of a water-soluble polymer as claimed in claim 1 [or 2], wherein the N-vinylformamide units and/or vinylacetamide units of the polymer (A) have been partially or completely converted into a polymer containing vinylamine units by hydrolysis with acids or bases.
- 7. (Amended) A process as claimed in claim 5 [or 6], wherein the polymeric dispersants (B) used are polyethylene glycol, polypropylene glycol, copolymers of ethylene glycol and propylene glycol, polyvinyl acetate, polyvinyl alcohol, polyvinylpyridine, polyvinylimidazole, polyvinylsuccinimide, polydiallyldimethylammonium chloride, polyethyleneimine and mixtures thereof.
  - 8. (Amended) A process as claimed in [any of claims 5 to 7] claim 5, wherein
- (A) N-vinylformamide, if desired together with other monoethylenically unsaturated monomers, and
  - (B) polyethylene glycol, polyvinylpyrrolidone or mixtures thereof are polymerized at from 40 to 55°C with water-soluble azo initiators.--

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Aqueous dispersions of water-soluble polymers of N-vinylcarboxamides, their preparation and their use

- 5 The present invention relates to aqueous dispersions of water-soluble polymers of N-vinylcarboxamides, processes for their preparation and their use in papermaking.
- EP-A-01 83 466 discloses a process for the preparation of aqueous 10 dispersions of water-soluble polymers, cationic monomers, for example dialkylaminoacrylamides quaternized with benzyl chloride, being polymerized in an aqueous salt solution in the presence of a polymeric dispersant. Dispersants used are, for example, polyols, polyalkylene ethers, alkali metal salts of polyacrylic 15 acid and alkali metal salts of poly-2-acrylamido-2-methylpropanesulfonic acid. Salt concentration in the polymerization medium is preferably from 15% by weight to the saturation limit.
- DE-A-44 30 069 discloses aqueous, solvent-free dispersions of 20 cationic polymers, which are used as sizes for paper. The polymers are prepared by free radical polymerization of cationic monomers, if desired as a mixture with other monomers in solution or dispersion or by mass polymerization.
- 25 DE-A 195 32 229 discloses a process for the preparation of
  low-viscosity, water-soluble polymer dispersions. In this
  process, water-soluble monomers, as a mixture with a
  crosslinkable N-methylol compound, or polymerized in aqueous
  solution in the presence of at least one polymeric dispersant,
  30 the resulting polymer being incompatible with the dispersant. The
  dispersions thus obtained are used as flocculants.
  - WO-A-97/30094 discloses a process for the preparation of dispersions of water-soluble cationic vinyl polymers,
- 35 water-soluble, cationic hydrophobically modified vinyl monomers or water-soluble, nonionic, hydrophobic vinyl monomers being polymerized with water-soluble, cationic and/or water-soluble neutral vinyl monomers in aqueous salt solutions using a water-soluble initiator in the presence of stabilizers which
- 40 consist of a graft copolymer which contains polyethylene oxide as the grafting base and grafted-on cationic vinyl monomers as side chains. WO-A 97/34933 relates to aqueous dispersions of high molecular weight, nonionic or anionic polymers which were prepared by polymerization of the monomers in a saturated salt
- 45 solution with addition of an anionic, water-soluble polymer

stabilizer. Preferably used monomers are acrylamide and acrylic acid.

It is an object of the present invention to provide aqueous 5 dispersions of water-soluble polymers, which dispersions are virtually free of stabilizing inorganic salts.

We have found that this object is achieved, according to the invention, by aqueous dispersions of water-soluble polymers of 10 N-vinylformamide and/or of N-vinylacetamide if the dispersions contain, based on 100 parts by weight of water,

- (A) from 5 to 80 parts by weight of a water-soluble polymer containing N-vinylformamide units and/or N-vinylacetamide units and having particle sizes of from 50 nm to 2 μm and
  - (B) from 1 to 50 parts by weight of at least one polymeric dispersant which is incompatible with the water-soluble polymers (A) in aqueous solution.

The aqueous dispersions of water-soluble polymers preferably contain, based on 100 parts by weight of water,

- (A) from 10 to 50 parts by weight of a water-soluble polymer containing N-vinylformamide units and/or N-vinylacetamide units and
- (B) from 5 to 40 parts by weight of at least one polymeric dispersant which is incompatible with the water-soluble polymers (A) in aqueous solution.

Particularly preferred dispersions are those which contain, as component (A), homopolymers of N-vinylformamide. N-vinylformamide units and N-vinylacetamide units can be characterized with the 35 aid of the following formula:

45 where R is H or CH3.

The water-soluble polymers containing N-vinylformamide units and/or N-vinylacetamide units can, if required, contain from 1 to 80, preferably from 5 to 30, % by weight of further monomers as copolymerized units. Such monomers are, for example,

- 5 monoethylenically unsaturated carboxylic acids of 3 to 8 carbon atoms, such as acrylic acid, methacrylic acid, dimethacrylic acid, ethacrylic acid, maleic acid, citraconic acid, methylenemalonic acid, allylacetic acid, vinylacetic acid, crotonic acid, fumaric acid, mesaconic acid and itaconic acid.
- 10 From this group of monomers, acrylic acid, methacrylic acid, maleic acid or mixtures of said carboxylic acids are preferably used. The monoethylenically unsaturated carboxylic acids are used either in the form of the free acids or in the form of their free alkali metal, alkaline earth metal or ammonium salts in the
- 15 copolymerization. For neutralization of the free carboxylic acids, sodium hydroxide solution, potassium hydroxide solution, sodium carbonate, potassium carbonate, sodium bicarbonate, magnesium oxide, calcium hydroxide, calcium oxide, gaseous or aqueous ammonia, triethylamine, ethanolamine, diethanolamine,
- 20 triethanolamine, morpholine, diethylenetriamine or tetraethylenepentamine is preferably used.

Further suitable monomers are, for example, the esters, amides and nitriles of the abovementioned carboxylic acids, e.g. methyl

- 25 acrylate, ethyl acrylate, methyl methacrylate, ethyl methacrylate, hydroxyethyl acrylate, hydroxypropyl acrylate, hydroxybutyl acrylate, hydroxyethyl methacrylate, hydroxypropyl methacrylate, hydroxyisobutyl acrylate, hydroxyisobutyl methacrylate, monomethyl maleate, dimethyl maleate, monoethyl
- 30 maleate, diethyl maleate, 2-ethylhexyl acrylate, 2-ethylhexyl methacrylate, acrylamide, methacrylamide, N-dimethylacrylamide, N-tert-butylacrylamide, acrylonitrile, methacrylonitrile, dimethylaminoethyl acrylate, diethylaminoethyl acrylate, diethylaminoethyl methacrylate and the salts of the
- 35 last-mentioned basic monomers with carboxylic acids or mineral acids and the quaternized products of the basic (meth)acrylates.

Other suitable copolymerizable monomers are furthermore acrylamidoglycolic acid, vinylsulfonic acid, allylsulfonic acid, 40 methallylsulfonic acid, styrenesulfonic acid, 3-sulfopropyl acrylate, 3-sulfopropyl methacrylate and acrylamidomethylpropanesulfonic acid and monomers containing phosphoric acid groups, such as vinylphosphonic acid, allylphosphonic acid and acrylamidomethylpropanephosphonic acid.

45 The monomers containing acid groups can be used in the

polymerization in the form of free acid groups and in a form partially or completely neutralized with bases.

Further suitable copolymerizable compounds are 5 N-vinylpyrrolidone, N-vinylcaprolactam, N-vinylimidazole, N-vinyl-2-methylimidazole, N-vinyl-4-methylimidazole, diallylammonium chloride, vinyl acetate, vinyl propionate and styrene. It is of course also possible to use mixtures of said monomers. The said monomers when polymerized alone do not give

- 10 water-soluble polymers, the polymers containing N-vinylformamide units and/or N-vinylacetamide units contain these comonomers as polymerized units only in amounts such that the copolymers are still water-soluble. In contrast to water-in-oil polymer emulsions, no organic solvents are required for the novel aqueous
- 15 dispersions. As is evident from the prior art stated at the outset, concentrated solutions of inorganic salts are a conventional medium for the preparation of aqueous dispersions of water-soluble polymers. As a result, the known dispersions have a very high salt load. Novel aqueous dispersions of water-soluble
- 20 polymers are in comparison virtually salt-free. The aqueous dispersions of water-soluble polymers of N-vinylformamide and/or N-vinylacetamide preferably have a high polymer content and preferably contain polymers having high molar masses in combination with low viscosity. The molar masses of the polymers
- 25 containing N-vinylformamide units and/or N-vinylacetamide units are, for example, from 5  $\cdot$  10<sup>4</sup> to 1  $\cdot$  10<sup>7</sup>, preferably from 2  $\cdot$  10<sup>5</sup> to  $1 \cdot 10^6$ .

The polymeric dispersants additionally contained as component (B) 30 in the aqueous dispersions differ in the composition from the water-soluble polymers (A) described above. The polymeric dispersant (B) is incompatible with the water-soluble polymer (A). The average molar masses of the polymeric dispersants are preferably from 1000 to 500,000, in particular from 1500 to **35** 50,000.

The polymeric dispersant containing at least one functional group selected from ether, hydroxyl, carboxyl, sulfone, sulfate ester, amino, imino, tert-amino and/or quaternary ammonium groups.

- 40 Examples of such compounds are: carboxymethylcellulose, water-soluble starch and starch derivatives, starch esters, starch xanthogenates, starch acetates, dextran, polyalkylene glycols, polyvinyl acetate, polyvinyl alcohol, polyvinylpyrrolidone, polyvinylpyridine, polyethyleneimine,
- 45 polyvinylimidazole, polyvinylsuccinimide and polydiallyldimethylammonium chloride.

If the aqueous dispersions of water-soluble polymers of N-vinylcarboxamides are used in papermaking, polymeric dispersants which have further process- or product-improving properties are preferably used for the preparation of these 5 dispersions. In this way, it is possible to offer combination solutions to the papermaker. For example, the dispersants (B) of the aqueous dispersions of water-soluble polymers of N-vinylcarboxamides can be selected from compounds which are employed in papermaking as fixing compositions, wet or dry 10 strength agents, dispersants for inorganic solids, antiadhesion compositions for better release from rollers or detackifiers, with the result that the soft, tacky impurities of the paper stock are converted into brittle deposits. In papermaking, it is of course possible to use further process assistants together 15 with the novel aqueous dispersions. For example, a polyacrylamide or polyethylene oxide having retention activity may additionally

The aqueous dispersions contain from 1 to 50, preferably from 5 20 to 40, parts by weight, based on 100 parts by weight of water, or at least one of the abovementioned polymeric dispersants (B).

be used with a novel aqueous dispersion of poly-N-vinylformamide.

The present invention also relates to a process for the preparation of aqueous dispersions of water-soluble polymers of N-vinylformamide and/or of N-vinylacetamide, wherein

- (A) from 5 to 80 parts by weight of N-vinylformamide and/or N-vinylacetamide, if desired together with other monoethylenically unsaturated monomers which form water-soluble polymers therewith, and
- (B) from 1 to 50 parts by weight of at least one polymeric dispersant which is incompatible with the polymers, formed from the monomers (A), in aqueous solution,

in 100 parts by weight of water, are subjected to free radical polymerization at from 30 to 95°C in the presence of from 0.001 to 5.0% by weight, based on the monomers used, of polymerization initiators which form free radicals under the polymerization 40 conditions.

In the preferred embodiment of the process,

5

- (A) from 10 to 50 parts by weight of N-vinylformamide and/or N-vinylacetamide, if desired together with other monoethylenically unsaturated monomers which form water-soluble polymers therewith, and
- (B) from 5 to 40 parts by weight of at least one polymeric dispersant which is incompatible with the polymers, formed from the monomers (A), in aqueous solution,
- 10 in 100 parts by weight of water, are polymerized at from 40 to 70°C with from 0.5 to 2.0% by weight, based on the monomers used in the polymerization, of the azocompounds which decompose into free radicals under the polymerization conditions.
- 15 The monomers are subjected to free radical polymerization according to the invention, i.e. polymerization inhibitors which form free radicals under the polymerization conditions are used. Suitable compounds of this type are, for example, hydrogen peroxide, peroxides, hydroperoxides, redox catalysts and
- 20 nonoxidizing initiators, such as azocompounds which decompose into free radicals under the polymerization conditions. Such azocompounds are, for example, 2,2'-azobis(2-amidinopropane) dihydrochloride, 2,2'-azobis(N,N'-dimethyleneisobutyramidine) dihydrochloride, 2,2'-azobis(2,4-dimethylvaleronitrile),
- 25 2,2'-azobis[2-methyl-N-(2-hydroxyethyl)propionamide] or 2,2'-azobisisobutyronitrile. It is of course also possible to use mixtures of different initiators. A particularly preferred preparation process for the aqueous dispersions of water-soluble polymers is one in which
  - (A) N-vinylformamide, if desired together with other monoethylenically unsaturated monomers, and
- (B) polyethylene glycol, polyvinylpyrrolidone or mixtures thereof 35
  - are polymerized at from 40 to 55°C with water-soluble azoinitiators. Suitable polymeric dispersants (B) are preferably polyethylene glycol, polypropylene glycol, copolymers of ethylene glycol and propylene glycol, polyvinyl acetate, polyvinyl
- 40 alcohol, polyvinylpyridine, polyvinylimidazole, polyvinylsuccinimide, polydiallyldimethylammonium chloride, polyethyleneimine and mixtures thereof. The molar masses of these polymers are preferably from 1500 to 50,000.
- 45 If polymer dispersions and polymers having low molecular weights are desired, it is possible, for example, to increase the amounts of initiator which are usually used in the polymerization so that

it is also possible to use amounts of initiator which are outside the abovementioned range for the amounts of initiator. Aqueous dispersions of low molecular weight homo- and copolymers of the suitable vinylcarboxamides can also be obtained by carrying out 5 the polymerization in the presence of polymerization regulators and, if required, simultaneously using a larger amount of initiator than that usually required. Suitable polymerization regulators are, for example, compounds containing sulfur in bound form, such as dodecyl mercaptan, thioglycolic acid, thioacetic 10 acid and mercaptoalcohols, such as mercaptoethanol, mercaptopropanols and mercaptobutanols. In addition, formic acid,

isopropanol and hydrazine in the form of salts with strong acid may also be used as polymerization regulators.

15 The molecular weights of the polymers present in dispersed form can also be characterized with the aid of the K values according to Fikentscher. The K values are up to 300 and preferably in the range from 130 to 180. From light scattering experiments, it follows that a K value of 250 corresponds to an average molecular 20 weight of the polymers of about 7,000,000 dalton.

By eliminating formyl groups from polymers containing N-vinylformamide units and by eliminating the group CH3-CO- from polymers containing N-vinylacetamide units, polymers containing 25 vinylamine units are formed in each case. Elimination may be effected partially or completely. If the hydrolysis is carried out in the presence of acids, the vinyamine units of the polymers are present as ammonium salts. The hydrolysis can also be carried out with the aid of bases, for example of metal hydroxides, in 30 particular of alkali metal and alkaline earth metal hydroxides. Preferably, sodium hydroxide or potassium hydroxide is used. In particular cases, hydrolysis can also be carried out with the aid of ammonia or amines. In the case of the hydrolysis in the presence of bases, the vinylamine units are present in the form 35 of free bases.

Suitable hydrolysis agents are preferably mineral acids, such as halogen halides, which may be used in gaseous form or as an aqueous solution. Concentrated hydrochloric acid, sulfuric acid, 40 nitric acid or phosphoric acid and organic acids, such as  $C_1-$  to C5-carboxylic acids, and aliphatic or aromatic sulfonic acid are preferably used. For example, from 0.05 to 2, in particular from 1 to 1.5, molar equivalents of acid are required per equivalent of formyl groups in the polymers containing polymerized 45 N-vinylformamide units. Hydrolysis of the N-vinylformamide units takes place significantly more rapidly than that of the polymers

having N-vinylacetamide units. If copolymers of the suitable

vinylcarboxamides with other comonomers are subjected to the hydrolysis, the comonomer units contained in the copolymer can also be chemically modified. For example, vinyl alcohol units are formed from vinyl acetate units. In hydrolysis, acrylic acid units are formed from methyl acrylate units, and acrylamide or acrylic acid units are formed from acrylonitrile units. The

- acrylic acid units are formed from acrylonitrile units. The hydrolysis of the N-vinylformamide units and/or vinylacetamide units of the polymers (A) can be carried out to an extent of from 5 to 100%, preferably from 10 to 40%. Although aqueous
- 10 dispersions of water-soluble N-vinylcarboxamides dissolve on dilution with water, the dispersion is surprisingly not destroyed during hydrolysis. The particle diameter of the hydrolyzed particles before and after the hydrolysis is from 50 nm to 2  $\mu$ m or preferably from 50 nm to 2  $\mu$ m and in most cases from 100 to 15 700 nm.

The dispersions described above, i.e. the unhydrolyzed as well as the hydrolyzed aqueous dispersions of water-soluble N-vinylcarboxamides, are used as drainage aids, flocculants and 20 retention aids and as wet and dry strength agents and as fixing compositions in papermaking. The cationic polymers can moreover be used as flocculants for wastewaters in the dewatering of

- be used as flocculants for wastewaters in the dewatering of sewage sludge, as flocculants in ore dressing and in tertiary oil production or as dispersants, for example, for inorganic and 25 organic pigments, dyes, cement or crop protection agents. The
- unhydrolyzed as well as the hydrolyzed aqueous dispersions can moreover be used as strength agents for paper, as fixing compositions for soluble and insoluble interfering substances in papermaking and as compositions for paper coating. They can
- 30 furthermore be used as coating material for fertilizers and crop protection agents and as floorcare compositions. Said aqueous hydrolyzed and unhydrolyzed polymer dispersions can also be used in cosmetics, for example for hair formulations, for example conditioners, hairsetting compositions or conditioners for
- 35 skincare compositions and as thickeners for cosmetic formulations and furthermore as a component of cosmetic formulations for oral hygiene.

The K values were determined according to H. Fikentscher,

40 Cellulose-Chemie, 13 (1932), 58-64 and 71-74, in aqueous solution at 25°C and at a concentration which, depending on the K value range, of from 0.1 to 5% by weight. The viscosity of the dispersion was measured in each case in a Brookfield viscometer using a no. 4 spindle at 20 rpm and at 20°C. The data in % are

45 percentages by weight.

#### Example 1

800 g of water, 5 g of sodium dihydrogen phosphate dihydrate, 150 g of polyvinylpyrrolidone (K value 30, determined in 1% 5 strength aqueous solution) and 150 g of polyethylene glycol having a molar mass of 1500 were weighed into a 2 l glass vessel equipped with an anchor stirrer, nitrogen supply line, distillation bridge and reduced pressure regulating means were all processed by stirring to give a homogeneous solution. 500 g 10 of N-vinylformamide were added and the pH of the solution was then brought to 6.5 by adding 25% strength aqueous sodium hydroxide solution. Nitrogen was passed continuously through the reaction mixture, and a solution of 2.5 g of 2,2'-azobis-(2-aminopropane) dihydrochloride in 100 g of water was added and 15 the reaction mixture was heated to 50°C for polymerization. The polymerization was carried out at this temperature and 130 mbar, the resulting heat of polymerization being removed by evaporative cooling. The polymerization time was 13 hours. Within this time, water was distilled off in an amount such that an aqueous 20 dispersion having a solids content of 44% was obtained. It had a viscosity of 15600 mPas, a K value of 140 (measured as 0.1% strength solution in 5% strength aqueous NaCl solution) and a residual N-vinylformamide monomer content of 0.1%.

#### 25 Example 2

1200 g of water, 5 g of sodium dihydrogen phosphate dihydrate, 150 g of polyvinylpyrrolidone (K value 30, determined in 1% strength aqueous solution) and 150 g of polyethylene glycol 30 having a molar mass of 1500 were initially taken in a 2 l glass vessel equipped with an anchor stirrer, nitrogen supply line, distillation bridge and reduced pressure regulating means. The mixture was stirred, and 643 g of N-vinylformamide were added. The pH of the reaction mixture was brought to 6.5 by adding 25% 35 strength aqueous sodium hydroxide solution. Nitrogen was passed continuously through the reaction mixture and 2.5 g of 2,2'-azobis(2-aminopropane) dihydrochloride in the form of a solution in 100 g of water were added and the batch was heated to a polymerization temperature of  $50^{\circ}\text{C}$ . The polymerization was 40 carried out at 130 mbar, the resulting heat of polymerization being removed in the course of 13 hours by evaporative cooling and water being distilled off from the reaction mixture in an amount such that an aqueous dispersion having a solids content of 44.1% and a polyvinylformamide fraction of 25% was obtained. The 45 viscosity of the aqueous dispersion was 5800 mPas. The K value of

the polymer was 148 and the residual N-vinylformamide monomer content was 0.2%.

### Example 3

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In the apparatus described in Example 1, first a solution of 1200 g of water, 5 g of sodium dihydrogen phosphate dihydrate, 150 g of polyvinylpyrrolidone (K value 30, measured in 1% strength aqueous solution) and 150 g of polyethylene glycol

- 10 having a molar mass of 1500 was prepared, and then 500 g of N-vinylformamide were added and a 25% strength aqueous sodium hydroxide solution was added in an amount such that the pH of the solution was 6.5. Nitrogen was passed continuously through the solution, and an aqueous solution of 2.5 g of 2,2'-azobis-
- 15 (2-aminopropane) dihydrochloride in 100 g of water was added and the mixture was heated to 50°C. The polymerization was carried out at 130 mbar in the course of 13 hours, water being distilled off for evaporative cooling in an amount such that an aqueous polymer dispersion having a solids content of 41.0% was obtained. The
- 20 viscosity of the dispersion was 3075 mPa.s. The proportion of dispersed polyvinylformamide was 20%. The polymer had a K value (measured as 0.1% strength solution in 5% strength aqueous NaCl solution) of 138 and a residual monomer content of 0.2%.

# 25 Example 4

In the apparatus stated in Example 1, the solution of 1044 g of water, 5 g of sodium dihydrogen phosphate dihydrate, 200 g of a partially hydrolyzed polyvinyl acetate having a degree of

- 30 hydrolysis of 86% and 100 g of polyethylene glycol having a molar mass of 1500 was prepared and 500 g of N-vinylformamide were added while stirring. The 25% strength aqueous sodium hydroxide solution was then added in an amount such that the pH was 6.5. Nitrogen was passed through the reaction mixture, and a solution
- 35 of 2.5 g of 2,2'-azobis(2-aminopropane) dihydrochloride, dissolved in 1000 g of water, was added and the reaction mixture was heated to a polymerization temperature of 50°C. The polymerization was carried out at 130 mbar over a period of 13 hours and with removal of the heat of polymerization by
- 40 evaporative cooling. Water was distilled off in an amount such that an aqueous dispersion having a solids content of 36% was obtained. The polymer had a K value (measured at a polymer concentration of 0.1% in 5% strength aqueous NaCl solution) of 130 and a residual monomer content of 0.1%. The particle diameter 45 of the dispersed particles was 200 nm.

Example 5

In the apparatus stated in Example 1, first an aqueous solution was prepared by initially taking therein 836 g of water, 5 g of 5 sodium dihydrogen phosphate dihydrate, 150 g of a copolymer of N-vinylcaprolactam and N-vinylmethylacetamide in a molar ratio of 1:1, having a molar mass of 45,000, and 150 g of polyethylene glycol having a molar mass of 1500, adding 500 g of N-vinylformamide while stirring and bringing the pH of the 10 solution to 6.5 by adding 25% strength aqueous sodium hydroxide solution. Nitrogen was then passed continuously through the mixture, a solution of 2.5 g of 2,2'-azobis(2-aminopropane) dihydrochloride in 100 g of water was added and the mixture was heated to 50°C, at which the polymerization was carried out. At 15 the same time, a pressure of 130 mbar was established, and the resulting heat of polymerization was removed by rapid cooling. For this purpose, water was distilled off over a period of 13 hours in an amount such that an aqueous polymer dispersion having a solids content of 43% was formed. The polyvinylformamide 20 content was 26.9%. The aqueous solution had a viscosity of 8700 mPa.s. The polymer had a K value (measured in 5% strength aqueous NaCl solution at a polymer concentration of 0.1%) of 110.2 and a residual N-vinylformamide monomer content of 0.2%. The particle size of the dispersed particles was 200 nm.

Example 6

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216.7 g of the aqueous polymer dispersion prepared according to Example 1 were initially taken in a 3-necked flask which had a capacity of 250 ml and was equipped with a gas inlet tube, reflux condenser and stirrer. 4 g of gaseous hydrogen chloride were passed in while stirring in the course of 10 minutes. The reaction mixture was heated to 50°C and stirred for 5 hours at this temperature. Thereafter, the degree of hydrolysis for the polymer was 10.1%, i.e. the polymer contained 10.1% of vinylamine units. The reaction mixture was neutralized by passing in 2.2 g of ammonia gas. The pH was 7.5. The dispersion had a viscosity of 16,600 mPa.s. The mean particle size of the dispersed particles was 250 nm. The polymer had a molar mass of 900,000 daltons.

Example 7

206 g of the aqueous dispersion prepared according to Example 3 were initially taken in a 3-necked flask having a capacity of 45 250 ml and equipped with a gas inlet tube, reflux condenser and stirrer. 20.3 g of hydrogen chloride gas were then passed in while stirring in the course of 25 minutes. The reaction mixture

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was heated to 75°C and then stirred for 2 hours at this temperature. The degree of hydrolysis of the poly-N-vinylformamide was 75%. The dispersion had a viscosity of 7040 mPa.s. The particle size of the dispersion was 300 nm. The 5 molar mass of the polymer was 500,000 daltons.

Example 8

212 g of the dispersion obtained according to Example 3 were
10 initially taken in a 3-necked flask having a capacity of 250 ml.
2.8 g of gaseous hydrogen chloride were then passed in while
stirring, and the reaction mixture was heated to 50°C. The mixture
was then stirred for 6.5 hours at this temperature. Thereafter,
the degree of hydrolysis of the polymer was 8.5%. The aqueous
15 dispersion had a viscosity of 4800 mPa.s. The particle size of
the dispersed particles was 200 nm. The polymer had a molar mass
of 1.2 · 106 daltons.

Example 9

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217.8 g of the polymer dispersion prepared according to Example 3 were initially taken in a 3-necked flask having a capacity of 250 ml. 8 g of gaseous hydrogen chloride were then passed in while stirring, and the reaction mixture was heated to 50°C. The 25 mixture was then stirred for 7 hours at this temperature. Thereafter, the degree of hydrolysis of the polymer was 27.4%. The aqueous dispersion had a viscosity of 4950 mPa.s. The particle size of the dispersed particles was 370 nm and the molar mass was 1.07 · 106 daltons.

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Use examples

Determination of the drainage time
The drainage term was determined in a Schopper-Riegler-tester by
35 draining therein 1 l of the fibrous stock suspension to be tested
and in each case determining the drainage time after the passage
of 700 ml of water.

Optical transmittance of the white water

40 The optical transmittance of the white water is a measure of retention of crills and fillers. It was determined with the aid of a photometer and stated in percent. The higher the value for the optical transmittance, the better is the retention. The following starting materials were used:

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The polymers I and II served for comparison with the prior art.

# Polymer I:

Polyamidoamine obtained from adipic acid and diethylenetriamine grafted with ethyleneamine and crosslinked with an

5  $\alpha, \omega$ -dichloropolyethylene glycol ether (cationic drainage aid and retention aid according to US-A 4 144 123).

#### Polymer II:

10 Commercial cationic copolymer of 70% acrylamide and 30% of dimethylaminoethyl acrylate chloride, K value of the copolymer 250.

Polymer III:

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Commercial cationic polyacrylamide (Praesterat® K 350)

Polymers to be used according to the invention:

#### 20 Polymer IV:

Aqueous dispersion which was obtained according to Example 8 (copolymer of 91.5% of N-vinylformamide units and 8.5% of vinylamine units).

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#### Example 10

A pulp having a consistency of 2 g/l was prepared from deinked wastepaper, and 0.2 g/l of china clay was additionally added to 30 the stock. The paper stock had a pH of 7. First the drainage rate and then the optical transmittance of the white water were determined. Zero value of the drainage time was 79 seconds. The polymers stated in Tables 1 and 2 were then added in amounts of 0.02, 0.04 and 0.08%, based on dry fiber, to the fiber suspension 35 and the drainage times and the optical transmittance of the white waters were determined. The results shown in Tables 1 and 2 were determined.

Drainage time [s]

		Addition [%]	of the polymer 0.04	to the paper stock 0.08
	Polymer I	55	40	28
45	Polymer II	33	25	18
	Polymer III	43	32	23
	Polymer IV	39	30	23

14 Optical transmittance [%]

5		Addition [%] 0.02	of the polymer 0.04	to the paper stock 0.08
	Polymer I	51	63	77
	Polymer II	73	86	93
	Polymer III	62	75	86
10	Polymer IV	67	74	83

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We claim:-

- An aqueous dispersion of a water-soluble polymer of
   N-vinylformamide and/or of N-vinylacetamide, wherein the dispersion contains, based on 100 parts by weight of water,
- (A) from 5 to 80 parts by weight of a water-soluble polymer containing N-vinylformamide units and/or N-vinylacetamide units and having a particle size of from 50 nm to 2 μm
  - (B) from 1 to 50 parts by weight of at least one polymeric dispersant which is selected from the group consisting of carboxymethylcellulose, water-soluble starch, starch esters, starch xanthogenates, starch acetates, dextran, polyalkylene glycols, polyvinyl acetate, polyvinyl alcohol, polyvinylpyrrolidone, polyvinylpyridine, polyethyleneimine, polyvinylimidazole, polyvinylsuccinimide and polydiallyldimethylammonium chloride.
  - 2. An aqueous dispersion of a water-soluble polymer as claimed in claim 1, wherein the dispersion contains, based on 100 parts by weight of water,
    - (A) from 10 to 50 parts by weight of a water-soluble polymer containing N-vinylformamide units and/or N-vinylacetamide units and
- (B) from 5 to 40 parts by weight of at least one polymeric dispersant.
- An aqueous dispersion of a water-soluble polymer as claimed in claim 1 or 2, wherein the dispersion contains as component
   (A) a homopolymer of N-vinylformamide.
- An aqueous dispersion of a water-soluble polymer as claimed in claim 1 or 2, wherein the N-vinylformamide units and/or vinylacetamide units of the polymer (A) have been partially or completely converted into a polymer containing vinylamine units by hydrolysis with acids or bases.
- A process for the preparation of aqueous dispersions of water-soluble polymers of N-vinylformamide and/or of N-vinylacetamide, wherein

#### AMENDED SHEET

16

(A) from 5 to 80 parts by weight of N-vinylformamide and/or N-vinylacetamide, if desired together with other monoethylenically unsaturated monomers, which form water-soluble polymers therewith, and

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(B) from 1 to 50 parts by weight of at least one polymeric dispersant which is selected from the group comprising carboxymethylcellulose, water-soluble starch, starch esters, starch xanthogenates, starch acetates, dextran, polyalkylene glycols, polyvinyl acetate, polyvinyl alcohol, polyvinylpyrrolidone, polyvinylpyridine, polyethyleneimine, polyvinylimidazole, polyvinylsuccinimide and polydiallyldimethylammonium chloride,

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in 100 parts by weight of water, are subjected to free radical polymerization at from 30 to 95°C in the presence of from 0.001 to 5.0% by weight, based on the monomers used, of polymerization initiators which form free radicals under the polymerization conditions.

- 6. A process as claimed in claim 5, wherein
- (A) from 10 to 50 parts by weight of N-vinylformamide and/or vinylacetamide, if desired together with other monoethylenically unsaturated monomers which form water-soluble polymers therewith, and
- (B) from 5 to 40 parts by weight of at least one polymeric dispersant.

in 100 parts by weight of water, are polymerized at from 40 to 70°C with from 0.5 to 2.0% by weight, based on the monomers used in the polymerization, of azocompounds which decompose into free radicals under the polymerization conditions.

7. A process as claimed in claim 5 or 6, wherein the polymeric dispersants (B) used are polyethylene glycol, polypropylene glycol, copolymers of ethylene glycol and propylene glycol, polyvinyl acetate, polyvinyl alcohol, polyvinylpyridine, polyvinylimidazole, polyvinylsuccinimide, polydiallyldimethylammonium chloride, polyethyleneimine and mixtures thereof.

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8. A process as claimed in any of claims 5 to 7, wherein

#### AMENDED SHEET

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- (A) N-vinylformamide, if desired together with other monoethylenically unsaturated monomers, and
- (B) polyethylene glycol, polyvinylpyrrolidone or mixtures thereof

are polymerized at from 40 to  $55^{\circ}\text{C}$  with water-soluble azo initiators.

Aqueous dispersions of water-soluble polymers of N-vinylcarboxamides, their preparation and their use

#### 5 Abstract

Aqueous dispersions of water-soluble polymers of N-vinylcarboxamides contain, based on 100 parts of water,

- 10 (A) from 5 to 80 parts by weight of water-soluble polymer containing N-vinylformamide units and/or N-vinylacetamide units and having particle sizes of from 50 nm to 2  $\mu m$  and
- (B) from 1 to 50 parts by weight of at least one polymeric15 dispersant which is incompatible with the water-soluble polymers(A) in aqueous solution, which dispersions are prepared by polymerizing
- (A) from 5 to 80 parts by weight of N-vinylformamide and/or N-vinylacetamide, if desired together with other monoethylenically unsaturated monomers which form water-soluble polymers therewith, and
- (B) from 1 to 50 parts by weight of at least one polymeric25 dispersant which is incompatible with the polymers, formed from the monomers (A), in aqueous solution,

in 100 parts by weight of water, at from 30 to 95°C in the presence of from 0.001 to 5.0% by weight, based on the monomers 30 used, and the aqueous dispersions of water-soluble polymers are used as drainage aids, flocculants and retention aids and as wet and dry strength agents and as fixing compositions in papermaking.

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# Declaration, Power of Attorney

Page 1 of 4

0050/049505

We (I), the undersigned inventor(s), hereby declare(s) that:

My residence, post office address and citizenship are as stated below next to my name,

We (I) believe that we are (I am) the original, first, and joint (sole) inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Aqueous dispersions of water-soluble polymers of N-vinylcarboxamides, their preparation and their use

the specification of which

[]	is attached he	ereto.	
[]	was filed on _		as
	Application S	Serial No.	
	and amended	on	
[x]	was filed as I	PCT international application	
	Number	PCT/EP99/08284	
	on	October 30, 1999	
	and was ame	nded under PCT Article 19	
	on		(if applicable)

We (I) hereby state that we (I) have reviewed and understand the contents of the above—identified specification, including the claims, as amended by any amendment referred to above.

We (I) acknowledge the duty to disclose information known to be material to the patentability of this application as defined in Section 1.56 of Title 37 Code of Federal Regulations.

We (I) hereby claim foreign priority benefits under 35 U.S.C. § 119(a)—(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed. Prior Foreign Application(s)

Application No.	Country	Day/Month/Year	Priority Claimed	91 - 55
19851024.1	Germany	05 November 1998	[x] Yes [] No	pdusopet001

We (I) hereby claim the benefit under Title 35, United States Codes, § 119(e) of any United States provisional application(s) listed below.

(Application Number)	(Filing Date)
(Application Number)	(Filing Date)

We (I) hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status (pending, patented, abandoned)

And we (I) hereby appoint:

10

Norman F. Oblon, Registration Number 24, 618; Marvin J. Spivak Registration Number 24, 913; Gregory J. Maier, Registration Number 25, 599; William E. Beaumont, Registration Number 30, 996; Steven B. Kelber, Registration Number 30, 073; Jean-Paul Lavalleye, Registration Number 31, 451; Timothy R. Schwartz, Registration Number 32, 171; Stephen G. Baxter, Registration Number 32, 884; Richard L. Treanor, Registration Number 36, 379; Robert W. Hahl,

Robert W. Hahl, Registration Number 33, 893, our (my) attorneys, with full powers of substitution and revocation, to prosecute this application and to transact all business in the Patent Office connected therewith; and we (I) hereby request that all correspondence regarding this application be sent to the firm of **OBLON, SPIVAK, McCLELLAND, MAIER & NEUSTADT, P. C.**, whose Post Office Address is: Fourth Floor, 1755

Jefferson Davis Highway, Arlington, Virginia 22202.

We (I) declare that all statements made herein of our (my) own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing

thereon.

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